JC10 Rec'd PCT/PTO 1 9 MAY 2005, 02-2005)

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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/FLECTED OFFICE (DO/FO/US)

ATTORNEY'S DOCKET NUMBER 436589

	CERNING A SUBMISSION	U.S. APPLICATION NO. (If known, see 37 CFR 1.5) Not Yet Assigned 35 688					
INTERNATIONAL APPLICATION NO. PCT/EP2003/012433		INTERNATIONAL FILING DATE 6 November 2003	PRIORITE DATE CLAIMED 27 November 2003				
TITLE OF II Method F	TITLE OF INVENTION Method For Producing A Buried Tunnel Junction In A Surface-Emitting Semiconductor Laser						
	T(S) FOR DO/EO/US hristian Amann						
		ates Designated/Elected Office (DO/EC	D/US) the following items and other information:				
1. 🔽 T	his is a FIRST submission of items co	oncerning a submission under 35 U.S.C. 371	1.				
2. 🔲 ТІ	nis is a SECOND or SUBSEQUENT s	submission of items conceming a submissio	n under 35 U.S.C. 371.				
з. 🔲 ті	This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.						
4. 🔽 T	he US has been elected (Article 31).						
5.	A copy of the International Application	n as filed (35 U.S.C. 371(c)(2))					
	a. is attached hereto (required	d only if not communicated by the Internation	nal Bureau).				
	b. has been communicated by	the International Bureau.					
	c. is not required, as the appli	ication was filed in the United States Receiv	ing Office (RO/US).				
6. V	An English language translation of th	e International Application as filed (35 U.S.0	C. 371(c)(2)).				
	a. is attached hereto.		•				
_	b. has been previously submi	itted under 35 U.S.C. 154(d)(4).					
7. Ľ	Amendments to the claims of the Inte	emational Application under PCT Article 19	(35 U.S.C. 371(c)(3))				
	a. are attached hereto (requi	ired only if not communicated by the Interna	ational Bureau).				
	b. have been communicated	by the International Bureau.					
	c. have not been made; how	vever, the time limit for making such amendr	ments has NOT expired.				
	d. La have not been made and	will not be made.					
8.	An English language translation of the	he amendments to the claims under PCT Ar	ticle 19 (35 U.S.C. 371(c)(3)).				
9	An oath or declaration of the inventor	r(s) (35 U.S.C. 371(c)(4)).					
10.	An English language translation of th Article 36 (35 U.S.C. 371(c)(5)).	e annexes of the International Preliminary E	Examination Report under PCT				
Items '	11 to 20 below concern document(s	s) or information included:					
11.	An Information Disclosure Statement	under 37 CFR 1.97 and 1.98.					
12.	An assignment document for recording	ng. A separate cover sheet in compliance w	rith 37 CFR 3.28 and 3.31 is included.				
13. 🗹	A preliminary amendment.						
14.	An Application Data Sheet under 37	CFR 1.76.					
15.	A substitute specification.						
16. 🔲	A power of attorney and/or change or	f address letter.					
17.	A computer-readable form of the seq	quence listing in accordance with PCT Rule	13ter.2 and 37 CFR 1.821- 1.825.				
18.	A second copy of the published Inter	national Application under 35 U.S.C. 154(d))(4).				
19.	A second copy of the English langua	ge translation of the international application	n under 35 U.S.C. 154(d)(4).				
20. 🔽	Other items or information: Certificat	te of Mailing And Return Post Card					

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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JC05 Rec'd PCT/PTO 19 MAY 2005

PTO-1390 (Rev. 02-2005)
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	J.S. APPLICATION NO. (if known, see 37 CFR 1.5) INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER				
Not Yet Assign 65 35 6 8 8 PCT/EP2003/012433			2433	436589			
	The following fees have been submitted			CALCULATIONS	PTO USE ONLY		
21. 🗹 Basid	c national fee			\$300	^{\$} 300		
22. Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)					\$ 200		
		· · · ·					
23. Search fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority					\$ 400	1	
	TOTAL OF 21, 2	2 and 23 =			\$ 900		
Additional fed sequence lis	e for specification sting or computer	and drawings filed program listing file	in paper over 100 sheets (e.d in an electronic medium). paper or fraction thereof.	xcluding	-		
Total Sheets	Extra Sheets		additional 50 or fraction ip to a whole number)	RATE			
29 - 100 =	0 /50 =	0		x \$250	\$ 0		
	0.00 for furnishing ate (37 CFR 1.49)		ration later than 30 months fr	rom the earliest	\$		
CLAIMS	NUME	BER FILED	NUMBER EXTRA	RATE	\$		
Total claims	26	- 20 =	6	x \$ 50	\$ 300		
Independent clair	ns 2	- 3 =	0	x \$200	\$ 0		
MULTIPLE DEPE	NDENT CLAIM(S	S) (if applicable)		+ \$360	\$		
			TOTAL OF ABOVE	CALCULATIONS =	\$ 1200		
Applicant cla	ims small entity s	tatus. See 37 CFF	1.27. Fees above are reduc	ced by 1/2.			
				SUBTOTAL =	\$ 1200		
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).					\$		
			TOTAL	NATIONAL FEE =	\$ 1200		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property					\$		
			TOTAL F	EES ENCLOSED =	\$ 1200		
					Amount to be refunded:	\$	
					Amount to be charged:	\$.	
a. A chec	k in the amount o	f \$	to cover the abo	ove fees is enclosed.			
b. Please charge my Deposit Account No. 12-0600 in the amount of \$ 1200 to cover the above fees. A duplicate copy of this sheet is enclosed.							
c. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 12-0600 A duplicate copy of this sheet is enclosed.							
d. Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.							
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.							
SEND ALL COR	RESPONDENCE	(\land)	1. Vol				
Customer No. 30955 LATHROP & GAGE LC SIGNATURE SIGNATURE							
4845 Pearl East Circle, Suite 300 Curtis A. Vo			Curtis A. Voc	:k			
Boulder, Colorado 80301 NAME (720) 931-3011 Telephone 38,356							
(720) 931-301 (720) 931-300	· ·	ON NUMBER					
(720) 931-3001 Facsimile REGISTRATION NUMBER							



CERTIFICATE OF	Matter No.					
EXPRESS MAIL POST OFFICE TO ADDRESSEE (37 CFR 1.10)						
Applicant(s): Marku	436589					
Serial No.	Filing Date	Examiner	Group Art Unit			
Not Yet Assigned	Herewith	Not Yet Assigned	Not Yet Assigned			
Invention Method For Manufacturing A Buried Tunnel Junction In A Surface-Emitting Semi-Conductor Laser						
I hereby certify that the	he following: Transmittal I	Letter to The United States	Designate/Elected			
Office (DO/EO/US)	Concerning A Submission I	Under 35 U.S.C. 371 (2 pag	es in duplicate);			
Copy of Application	as Filed through Internation	nal Publication Number WC	2004/049461 (29			
pages); English Trans	slation of the Application A	as Filed (28 pages); Prelimin	nary Amendment (9			
pages); Redlined Cop	y of Replacement Specification	ation (18 pages); Replacem	ent Sheets with			
Figs. 1-10 (5 pages);	Clean Copy of Application	including Specification wh	ich including 26			
		thorization to charge \$1,200	_			
authorization to charge additional fees that may be required, or credit any overpayment, to						
Deposit Account No. 12-0600; and return post card are being mailed in an envelope addressed						
to: Mail Stop: PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450						
on this 19th day of M	ay, 2005.					
	MiMi Nguyen					
Name of Depositor						
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		Transmiss				
Signature of Depositor						
Express Mail Label No.						